



Introducing Sentinel™

At last, a tracking tool for agency and SRO rulemaking that's as lightweight as it is powerful. Impose order on the chaos of federal rulemaking with the latest outstanding compliance solution from **Knowledge Mosaic Inc.**

Stay on Top of Your Game

Sentinel is perfectly suited to the needs of investment advisers and financial institutions. How do we know? Because as part of our product development process, we had extensive conversations with industry insiders, including compliance professionals from some of the world's leading investment and banking firms.

The end result is the most user-friendly and cost-effective system out there for those who need to stay on top of the constantly shifting regulatory landscape.

Compliance Made Simple

Keeping up with the deluge of SRO and agency rule changes requires hours of laborious and tedious tracking, cross-checking, and data entry. The alternative—using a web- or software-based system—comes with a hefty price tag, not to mention cumbersome set-up and maintenance requirements.

By contrast, **Sentinel** is sleek, affordable, and can be mastered in minutes. Designed to be a “plug and play” application, it requires virtually no setup, so you can begin using it instantly. And it is considerably less expensive than comparable services.

A daily email alerting system, intuitive search page, and the ability to annotate release entries are the core features of this innovative tool.

Comprehensive, Real-Time Rulemaking Updates

Sentinel tracks nearly 200 proposed rule changes each month for more than 25 SROs, including FINRA, NYSE, Nasdaq, CBOE, and the MSRB. It also includes rulemaking proposals from the SEC.

SRO Sentinel Alert

11/20/2010

The following releases have been published since your last alert:

Entity	File/ Notice Number	Release
SEC	34-63347 <i>New Proposal</i>	Security-Based Swap Data Repository Registration, Duties, and Core Principles (SEC Release, 11/19/2010)
SEC	ia-3110 <i>New Proposal</i>	Rules Implementing Amendments to the Investment Advisers Act of 1940 (SEC Release, 11/19/2010)
SEC	34-63446 <i>New Proposal</i>	Regulation SBSR- Reporting and Dissemination of Security-Based Swap Information (SEC Release, 11/19/2010)
SEC	ia-3111 <i>New Proposal</i>	Exemptions for Advisers to Venture Capital Funds, Private Fund Advisers with Less Than \$150 Million in Assets Under Management, and Foreign Private Advisers (SEC Release, 11/19/2010)

To see the text of a release, click the hyperlinked title.

To see related releases or to enter notes for a record, go to the [SRO Sentinel page](#).

For assistance, please contact us:
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Reap the Benefits:

- Substantial time and cost savings
- Improved compliance risk management
- More accurate, organized record-keeping
- Fast, reliable notification of relevant activity
- Peace of mind

The screenshot shows the SRO Sentinel web application interface. At the top, there's a header with the logo and a navigation bar. Below that, there are several filter sections: Entity (with a dropdown menu), File No. (with a search box and a dropdown), FINRA Notice No. (with a search box and a dropdown), Rule Status (with a dropdown), Notes (with a dropdown), Tags (with a dropdown), and Record Status (with a dropdown). There are also search and reset buttons, and a 'Records returned: 58' indicator. Below the filters is a 'Printable Report' section with a table of results.

Entity	File/Notice Number	Latest Date	Rule Status	Released
BS	SR-BX-2010-084	12/6/2010	Approved	NASDAQ OMX BX, Inc. (Federal Register Notice, 12/6/2010) Notice of Filing and Immediate Effectiveness of Proposed Rule Change as Modified by Amendment No. 1 to Extend Through December 31, 2011, the Pilot Program that Permits Certain Classes to be Quoted in Penny Increments on NYSE (SEC Release, 11/09/2010)
FINRA	SR-FINRA-2010-063	12/6/2010	Approved	Financial Industry Regulatory Authority, Inc. (Federal Register Notice, 12/6/2010) Notice of Filing and Immediate Effectiveness of Proposed Rule Change to Extend to July 16, 2011, the Pilot Program for FINRA Rule 4090 (Margin Requirements for Credit Default Swaps) (SEC Release, 11/09/2010) Proposed Rule Change to Extend to July 16, 2011, the Implementation of FINRA Rule 4290 (Margin Requirements for Credit Default Swaps)- Text of Proposed Rule Change (SRO Rule Filing, 11/22/2010)
CBOE	SR-CBOE-2010-102	12/6/2010	Approved	Chicago Board Options Exchange, Inc. (Federal Register Notice, 12/6/2010) Notice of Filing and Immediate Effectiveness of Proposed Rule Change Related to the Penny Pilot Program (SEC Release, 11/09/2010)
NYSEAMEX	SR-NYSEAMEX-2010-107	12/6/2010	Approved	NYSE AMEC LLC (Federal Register Notice, 12/6/2010) Notice of Filing and Immediate Effectiveness of Proposed Rule Change Amending Option Trading Rules in Order to Extend the Penny Pilot in Option Classes in Certain Issues Through December 31, 2011 (SEC Release, 11/09/2010) Proposed to Amend the Option Trading Rules in order to extend the Penny Pilot in certain classes to certain issues

With Sentinel, You Can:

- Locate records using advanced text search capability and a multitude of search parameters.
- Receive daily electronic alerts covering the most recent regulatory activity.
- Flag incoming records to designate which of your company's internal policies are affected, or which people are assigned responsibility.
- Assign priority status based on effective dates, the regulatory importance of a rule change, or other criteria you choose.
- Forward rulemaking alerts to those responsible for specific policies.
- Create and distribute customized reports according to the parameters and filters you select.
- Keep organized by applying notes or tags to topics of interest.

Ready to find out more? Contact us.
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